

Technical Guidance for Welfare-to-Work Reporting

November 2001

SECTION A

INTRODUCTION

This guidance proposes a methodology for States and Welfare-to-Work (WtW) competitive grantees to generate the Federal Participant Summary section of the WtW Competitive and Formula Grant Quarterly Financial Status Report. The guidance contains the necessary information to collect data and generate the required report counts and performance calculations. The guidance consists of three sets of specifications – for data elements, report elements, and reporting files -- and a discussion of Unemployment Insurance (UI) wage records.

Attached is a software application which generates the counts required for the Federal Participant Summary section of the WtW Quarterly Financial Status Report. To use the software, grantees create a file containing the data elements specified in Section B of this guidance and load it into the application. The software then generates the required counts and the participant outcomes used to measure performance as shown in Section D of this guidance. Grantees must have Microsoft ACCESS on their computer to use this software. Complete instructions for building and loading the data file and using the application are provided with the software.

1. Data Element Specifications

The data element specifications list and define the data elements that are required to be captured and stored by each grantee to produce the quarterly report. Each grantee must capture the required information, but if necessary grantees can use other data element names or use a different configuration of data elements than what is specified. Section B of this handbook contains the complete data element specifications.

2. Report Element Specifications

The report element specifications list the following:

- Each reporting element on the Federal Participant Summary section of the quarterly report
- The definition of the report element
- The reporting specification which instructs programmers on how to calculate the reported count or performance measurement using the data elements listed in the Data Element Specifications. All data elements are printed in upper case in the reporting specification of the document.

Section C of this handbook contains the complete report element specifications.

3. Reporting File Specifications

The report file specifications instruct programmers on how to build a file to report each of the counts on the Federal Participant Summary section of the quarterly report, as well as generate participant outcomes used to measure performance. The file consists of a record for each “participant served” who is reported on the quarterly report. Section D of this handbook contains the complete reporting file specifications.

4. Obtaining and Using UI Wage Records

WtW assumes the use of UI wage record data to determine retention outcomes after placement in unsubsidized employment or employment at program entry, and to calculate earnings gain rates. There are numerous steps that grantees must perform to create a data set which includes wage record information, prior to performing the performance calculations. Each grantee may have its own preference for additional data to include on the quarterly file sent to obtain wage records. A field designating the SSN of the participant must be included if the grantee is going to include the wage record merge for the participant with other programs. Section E of this guidance provides further specification on how to perform these tasks.

5. Key Reporting Guidelines

There are six key reporting guidelines that grantees should consider when preparing the Federal Participant Summary section of the WtW Quarterly Financial Status Report for Competitive and Formula Grants.

1) Cumulative Reporting

The Quarterly Participant Status Report is a cumulative report and tracks participants on an accrual basis. The majority of the data will be cumulative from the inception of the grant and should represent the cumulative aggregate number of all participants served.

2) Becoming a "Participant Served"

An individual is not reported as a participant until (s)he receives one of the WtW allowable services or case management, development of an individualized service strategy, or in-depth assessment.

3) Terminations

Grantees who terminate participants who are later re-enrolled and then receive additional services should have two records for such participants, one for each "spell" of participation.

4) Placement in Unsubsidized Employment

If a participant who is initially reported as employed at entry later receives a promotion or career upgrade, the participant would be removed from the employed at entry count and reported in the placed in unsubsidized employment count. Placement in unsubsidized employment supercedes employment at entry. Therefore, the report needs to be run on the cumulative file each quarter. Some participants who were previously reported in item 13 (item 27 for Formula grantees) will only be reported in item 12 (item 26 for Formula grantees) after they are placed.

5) Establishing the Base Quarter

The grantee should determine the base quarter as follows:

- If the participant was employed at entry, the base quarter is the quarter of the first service date.

- If the participant was not employed at entry, the base quarter is the quarter of the initial date placed in unsubsidized employment.

6) Placement, Retention and Earnings Gain Reporting

Data on placement rate, retention, and earnings gain are reported only once for each participant unless the participant is terminated and later re-enrolled in the program and achieves those outcomes again in a second spell of participation.

SECTION B

DATA ELEMENT SPECIFICATIONS

Welfare To Work Data Element Specifications

<i>WtW Data Element No.</i>	<i>WtW Data Element Name</i>	<i>WtW Definition</i>
01	Grantee Type	Type of WtW grantee, Competitive or Formula.
02	Individual Identifier	If the Grantee intends to use wage records the individual identifier must be the SSN, otherwise any unique identifier can be used.
03	First Service Date	<p>Date the individual is classified as a "participant served" by receiving one or more of the WtW allowable services for the first time.</p> <p>NOTE: An individual is classified as a "participant served" when the participant receives one of more of the WtW allowable services (vocational educational training or job training, community service, work experience, job creation through public or private sector employment wage subsidies, on-the-job training, job readiness, job placement, post-employment services, job retention or support services, and individual development accounts). Also included as services which constitute "participant served" status are "in-depth" assessment (e.g. assessment beyond that which is required for intake and eligibility determination purposes), development of an individualized service strategy, and case management services. Intake, initial assessment, and eligibility determination do NOT constitute "participant served" status for an individual.</p>

<i>WtW Data Element No.</i>	<i>WtW Data Element Name</i>	<i>WtW Definition</i>
04	Long-Term TANF Recipient	<p>An individual who is currently receiving TANF assistance under a State TANF program, and who has received assistance under TANF or its predecessor program for at least 30 months, although the months don't have to be consecutive; or</p> <p>An individual who is currently receiving TANF assistance under a State TANF program, and who will become ineligible for TANF assistance within 12 months due to either Federal or State-imposed time limits on the receipt of TANF assistance. This includes individuals (as well as children of noncustodial parents) exempted from the time limits due to hardship under section 408(a)(7)(C) of the Act or due to a waiver because of domestic violence under section 402(a)(7) of the Act, who would become ineligible for assistance within 12 months without the exemption or waiver.</p> <p>For Competitive Grants: This includes participants who enrolled after 12/31/99.</p> <p>For Formula Grants: This includes participants who enrolled after 6/30/2000.</p>
05	Noncustodial Parents	<p>An individual who is a parent of a minor child and is:</p> <ul style="list-style-type: none"> (1) unemployed, underemployed, or having difficulty paying child support, and (2) in compliance with the terms of a written or oral personal responsibility contract; and (3) at least one of the following applies: <ul style="list-style-type: none"> (a) the minor child (or custodial parent) meets the long-term TANF receipt requirements; or (b) the minor child is receiving or eligible for TANF benefits and services; or (c) the minor child received TANF benefits and services during the preceding year; or (d) the minor child is receiving or eligible for assistance under the Food Stamp program, Supplemental Security Income Program, Medicaid, or Children's Health Insurance Program. <p>For Competitive Grants: This includes participants who enrolled after 12/31/99.</p> <p>For Formula Grants: This includes participants who enrolled after 6/30/2000.</p>

<i>WtW Data Element No.</i>	<i>WtW Data Element Name</i>	<i>WtW Definition</i>
06	TANF Exhaustee	<p>An individual who is no longer receiving TANF assistance because s(he) has reached either the Federal five-year limit or a State-imposed time limit on receipt of TANF assistance.</p> <p>For Competitive Grants: This includes participants who enrolled after 12/31/99.</p> <p>For Formula Grants: This includes participants who enrolled after 6/30/2000.</p>
07	TANF Dependence	<p>An individual who has characteristics associated with, or predictive of, long-term welfare dependence, such as having dropped out of school, teenage pregnancy, or having a poor work history. States, in consultation with the operating entity, may designate additional characteristics associated with or predictive of long-term welfare dependence.</p> <p>For Competitive Grants: This includes participants who enrolled after 12/31/99.</p> <p>For Formula Grants: This includes participants who enrolled after 6/30/2000.</p>
08	TANF Barriers	<p>An individual who has significant barriers to self-sufficiency, under criteria established by the local board or alternate administering agency.</p> <p>For Competitive Grants: This includes participants who enrolled after 12/31/99.</p> <p>For Formula Grants: This includes participants who enrolled after 6/30/2000.</p>
09	Foster Care	<p>Individuals who were in foster care under the responsibility of the State before 18 years of age and who are between the ages of 18 - 24 at the time of applying for the WtW program.</p> <p>For Competitive Grants: This includes participants who enrolled after 12/31/99.</p> <p>For Formula Grants: This includes participants who enrolled after 6/30/2000.</p>

<i>WtW Data Element No.</i>	<i>WtW Data Element Name</i>	<i>WtW Definition</i>
10	Custodial Below 100%	<p>Custodial parents with family incomes below 100% of the poverty line, determined in accordance with the most recent HHS Poverty Guidelines, and custodial parents with disabilities whose own income is below 100% of the poverty line but who are members of families whose income does not fall below 100% of the poverty line.</p> <p>Income is defined as total family income for the last six months exclusive of unemployment compensation, child support payments, and old-age survivors benefits.</p> <p>For Competitive Grants: This includes participants who enrolled after 12/31/99.</p> <p>For Formula Grants: This includes participants who enrolled after 6/30/2000.</p>
11	Termination Date	Date participant is terminated from the WtW program.
12	General Eligibility/Noncustodial Parents (70%)	<p>For Competitive Grantees: Participants served who enrolled before 1/1/2000 in the 70% category.</p> <p>For Formula Grantees: Participants served who enrolled before 7/1/2000 in the 70% category.</p>
13	Other Eligibles (30%)	<p>For Competitive Grantees: Participants served who registered before 1/1/2000 in the 30% category.</p> <p>For Formula Grantees: Participants served who registered before 7/1/2000 in the 30% category.</p>
14a	Hours Worked	Number of hours the participant worked per week at placement.
14b	Entry Hours Worked	Number of hours the participant worked per week at program entry for those already employed in unsubsidized employment at entry.
15a	Initial Unsubsidized Placement Date	<p>Date the participant is placed in an unsubsidized job for the first time, i.e. the Social Security Number is linked with the job placement, while receiving WtW services. Grantees may not report a placement for a participant more than once unless the participant is terminated from the WtW program and comes back after not receiving WtW services for at least 90 days. Exclude participants who are placed in any job for which the employer receives a wage subsidy. Also exclude participants who are placed in on-the-job training until after the OJT is completed and the participant is retained in an unsubsidized job.</p>

<i>WtW Data Element No.</i>	<i>WtW Data Element Name</i>	<i>WtW Definition</i>
15b	Initial Subsidized Placement Date	Date the participant is placed in a subsidized job for which the wage subsidy is less than 100% of the participant's total income and for which the subsidized job placement is not workfare, i.e. the total amount paid to the individual exceeds the amount of the subsidy.
16	Employed at Entry	An individual who was employed when becoming a participant in WtW.
17a	Wages Base Quarter	Sum of earnings of the participant in the base quarter, obtained from wage records.
17b	Other Source Base Quarter	Sum of earnings of the participant in the base quarter, obtained from other sources.
17c	Wages Base Quarter +1	Sum of earnings of the participant in the first quarter following the base quarter, obtained from wage records.
17d	Other Source Base Quarter +1	Sum of earnings of the participant in the first quarter following the base quarter, obtained from other sources.
17e	Wages Base Quarter +2	Sum of earnings of the participant in the second quarter following the base quarter, obtained from wage records.
17f	Other Source Base Quarter +2	Sum of earnings of the participant in the second quarter following the base quarter, obtained from other sources.
18	Gender	Male or Female For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99. For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.
19	Date of Birth	The participant's date of birth. For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99. For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.

<i>WtW Data Element No.</i>	<i>WtW Data Element Name</i>	<i>WtW Definition</i>
20a	American Indian or Alaskan Native	<p>A person having origins in any of the original peoples of North America and South America (including Central America), and who maintains cultural identification through tribal affiliation or community recognition.</p> <p>For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>
20b	Asian	<p>A person having origins in any of the original people of the Far East, Southeast Asia, or the Indian Subcontinent (e.g., India, Pakistan, Bangladesh, Sri Lanka, Nepal, Sikkim, and Bhutan). This area includes, for example, Cambodia, China, Japan, Korea, Malaysia, the Philippine Islands, Thailand, and Vietnam.</p> <p>For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>
20c	Black or African American	<p>A person having origins in any of the black racial groups of Africa.</p> <p>For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>
20d	Native Hawaiian or Other Pacific Islander	<p>A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.</p> <p>For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>
20e	White	<p>A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.</p> <p>For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>

<i>WtW Data Element No.</i>	<i>WtW Data Element Name</i>	<i>WtW Definition</i>
21	Hispanic or Latino	<p>A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race</p> <p>For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>
22	Individual With Disability	<p>Participant has a physical (motion, vision, hearing) or mental (learning or developmental) impairment which substantially limits one or more of such person's major life activities and has a record of such an impairment.</p> <p>For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>

SECTION C

REPORT ELEMENT SPECIFICATIONS

Office of National Programs

Welfare-to-Work Report Elements

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	010	024	Total Participants Served	Number of participants served under this grant. If a client ceases to be served under the program and then returns for additional services, the client is to be counted again.	For Competitive Grants: Sum of 10.a plus 10.b. For Formula Grants: Sum of 24.a plus 24.b.
WTW Cumulative Quarterly Financial Status Report	010.a	024.a	General Eligibility/Noncustodial Parents Category	Number of participants served who met the following criteria: (1) Long-term TANF recipients & TANF exhaustees (10.a.1/24.a.1) ("long-term TANF recipients"). (2) Noncustodial parents (10.a.2/24.a.2) where.	For Competitive Grants: Sum of 10.a.1 and 10.a.2 plus count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is before 1/1/2000 and GENERAL ELIGIBILITY/NONCUSTODIAL PARENTS (70%) is Yes. For Formula Grants: Sum of 24.a.1 and 24.a.2 plus count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is before 7/1/2000 and GENERAL ELIGIBILITY/NONCUSTODIAL PARENTS (70%) is Yes.

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	010.a1	024.a1	Long-term TANF recipients and TANF exhaustees	<p>Number of participants served who met the following criteria:</p> <p>(1) An individual who is currently receiving TANF assistance under a State TANF program, and who has received assistance under TANF or its predecessor program for at least 30 months, although the months don't have to be consecutive; or</p> <p>(2) An individual who is currently receiving TANF assistance under a State TANF program, and who will become ineligible for TANF assistance within 12 months due to either Federal or State-imposed time limits on the receipt of TANF assistance. This criterion includes individuals (as well as children of noncustodial parents) exempted from the time limits due to hardship under section 408(a)(7)(C) of the Act or due to a waiver because of domestic violence under section 402(a)(7) of the Act, who would become ineligible for assistance within 12 months without the exemption or waiver; or</p> <p>(3) An individual who is no longer receiving TANF assistance because s(he) has reached either the Federal five-year limit or a State-imposed time limit on receipt of TANF assistance.</p>	<p>For Competitive Grants: Count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is after 12/31/1999 and LONG-TERM TANF RECIPIENT is Yes or TANF EXHAUSTEE is Yes.</p> <p>For Formula Grants: Count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is after 6/30/2000 and LONG-TERM TANF RECIPIENT is Yes or TANF EXHAUSTEE is Yes.</p>

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	010.a2	024.a2	Noncustodial parents	<p>Number of participants served who met the following criteria:</p> <p>(1) An individual who is a parent of a minor child and is:</p> <p>(a) unemployed, underemployed, or having difficulty paying child support, and</p> <p>(b) in compliance with the terms of a written or oral personal responsibility contract; and</p> <p>(c) at least one of the following applies</p> <p>(i) the minor child (or custodial parent) meets the long-term TANF receipt requirements; or</p> <p>(ii) the minor child is receiving or is eligible for TANF benefits and services; or</p> <p>(iii) the minor child received TANF benefits and services during the preceding year; or</p> <p>(iv) the minor child is receiving or is eligible for assistance under the Food Stamp program, Supplemental Security Income Program, Medicaid, or Children's Health Insurance Program.</p>	<p>For Competitive Grants: Count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is after 12/31/1999 and NONCUSTODIAL PARENTS is Yes.</p> <p>For Formula Grants: Count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is after 6/30/00 and NONCUSTODIAL PARENTS is Yes.</p>
WTW Cumulative Quarterly Financial Status Report	010.b	024.b	Other Eligible Category	<p>Number of participants served who met the following criteria:</p> <p>(1) TANF recipients with characteristic of long-term welfare dependence or barriers to self-sufficiency (10.b.1/24.b.1), and are either:</p> <p>(2) Former State foster care recipients aged 18-24 at WtW application (10.b.2/24.b.2) ("former foster care recipients") or,</p> <p>(3) Custodial parents with incomes below 100% of the poverty line (10.b.3/24.b.3).</p>	<p>For Competitive Grants: Sum of 10.b.1, 10.b.2 and 10.b.3 plus count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is before 1/1/2000 and OTHER ELIGIBLES (30%) is Yes.</p> <p>For Formula Grants: Sum of 24.b.1, 24.b.2 and 24.b.3 plus count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is before 7/1/2000 and OTHER ELIGIBLES (30%) is Yes.</p>

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	010.b1	024.b1	TANF recipients with characteristics of long-term welfare dependence or barriers to self-sufficiency	Number of participants served who met the criteria for TANF recipients who have: (1) characteristics associated with, or predictive of, long-term welfare dependence, such as having dropped out of school, teenage pregnancy, or having a poor work history. States, in consultation with the operating entity may designate additional characteristics associated with, or predictive of, long-term welfare dependence; or (2) significant barriers to self- sufficiency, under criteria established by the local board or alternate administering agency	For Competitive Grants: Count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is after 12/31/1999 and TANF DEPENDENCE or TANF BARRIERS is Yes. For Formula Grants: Count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is after 6/30/2000 and TANF DEPENDENCE or TANF BARRIERS is Yes.
WTW Cumulative Quarterly Financial Status Report	010.b2	024.b2	Former foster care participants	Number of participants served who were in foster care under the responsibility of the State before 18 years of age and are between the age of 18 - 24 at the time of applying for the WtW program (10.b.2/24/b/2)	For Competitive Grants: Count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is after 12/31/1999 and FOSTER CARE is Yes. For Formula Grants: Count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is after 6/30/2000 and FOSTER CARE is Yes.
WTW Cumulative Quarterly Financial Status Report	010.b3	024.b3	Custodial parents with incomes below 100% of poverty	Number of custodial parents with family incomes below 100% of the poverty line, determined in accordance with the most recent HHS Poverty Guidelines, and custodial parents with disabilities whose own income is below 100% of the poverty line but who are members of families whose income does not fall below 100% of the poverty line (10.b.3/24.b.3)	For Competitive Grants: Count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is after 12/31/1999 and CUSTODIAL BELOW 100% is Yes. For Formula Grants: Count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is after 6/30/00 and CUSTODIAL BELOW 100% is Yes.

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	011	025	Total Participants Terminated	Number of participants terminated under this grant. If a client is terminated, then returns to the program for additional services, and is later terminated again, the client is to be counted as a termination again.	For Competitive Grants: Sum of 11.a plus 11.b. For Formula Grants: Sum of 025.a plus 025.b.
WTW Cumulative Quarterly Financial Status Report	011.a	025.a	General Eligibility/Noncustodial Parents Category	Number of participants terminated under the grant who met the criteria for "General Eligibility/Noncustodial Parents" as defined in Section 403(a)(5)(C)(ii) of the Act. This is the cumulative number of participants terminated under the grant who had been served by the expenditures reported in report Item 6.a/8.a.	Count of INDIVIDUAL IDENTIFIERS where GENERAL ELIGIBILITY/NONCUSTODIAL PARENTS (70%) is Yes, or LONG-TERM TANF RECIPIENT is Yes, or TANF EXHAUSTEE is Yes, or NONCUSTODIAL PARENTS is Yes, and TERMINATION DATE is not blank.
WTW Cumulative Quarterly Financial Status Report	011.b	025.b	Other Eligible Category	Number of participants terminated under the grant who met the criteria for the "Other Eligible" category, as defined in Section 403(a)(5)(C). This is the cumulative number of participants terminated under the grant who had been served by the expenditures reported in report Item 6.b./8.b.	Count of INDIVIDUAL IDENTIFIERS where OTHER ELIGIBLES (30%) is Yes, or TANF DEPENDENCE is Yes, or TANF BARRIERS is Yes, or CUSTODIAL BELOW 100% is Yes, or FOSTER CARE is Yes, and TERMINATION DATE is not blank.
WTW Cumulative Quarterly Financial Status Report	012	026	Placed in Unsubsidized Employment	Number of participants who are placed in unsubsidized jobs for the first time, i.e. the Social Security Number is linked with the job placement, while receiving WtW services. Grantees may not report a placement for a participant more than once unless the participant is terminated from the WtW program and comes back after not receiving WtW services for at least 90 days. Exclude participants who are placed in any job for which the employer receive a wage subsidy. Also exclude participants who are placed in on-the-job training until after the OJT is completed and the participant is retained in an unsubsidized job.	For Competitive Grants: The sum of items 12.a and 12.b. For Formula Grants: The sum of items 26.a and 26.b.

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	012.a	026.a	Greater than or equal to 30 hours per week at placement	Number of participants who entered unsubsidized employment of 30 or more hours per week at placement.	Count of INDIVIDUAL IDENTIFIERS where INITIAL UNSUBSIDIZED PLACEMENT DATE is not blank and HOURS WORKED is >=30.
WTW Cumulative Quarterly Financial Status Report	012.b	026.b	Less than 30 hours per week at placement	Number of WtW participants who entered unsubsidized employment of less than 30 hours per week at placement.	Count of INDIVIDUAL IDENTIFIERS where INITIAL UNSUBSIDIZED PLACEMENT DATE is not blank and HOURS WORKED is <30.
WTW Cumulative Quarterly Financial Status Report	013	027	Employed in Unsubsidized Employment when Entering WtW	Number of WtW participants who were already employed in an unsubsidized job when becoming a "participant served" by the WtW program. Please refer to the definition of "participant served" in Item 10/24 of the reporting specifications. Individuals should not be counted in this entry until they meet the "participant served" status.	For Competitive Grants: The sum of items 13.a and 13.b. For Formula Grants: The sum of items 27.a and 27.b.
WTW Cumulative Quarterly Financial Status Report	013.a	027.a	Greater than or equal to 30 hours per week at program entry	Number of participants who were employed in unsubsidized employment of 30 or more hours per week when becoming a participant served by the WtW program.	Count of INDIVIDUAL IDENTIFIERS where INITIAL UNSUBSIDIZED PLACEMENT DATE is blank and EMPLOYED AT ENTRY is Yes and ENTRY HOURS WORKED is >=30.
WTW Cumulative Quarterly Financial Status Report	013.b	027.b	Less than 30 hours per week at program entry	Number of participants who were employed in unsubsidized employment of less than 30 hours per week when becoming a participant served by the WtW program.	Count of INDIVIDUAL IDENTIFIERS where INITIAL UNSUBSIDIZED PLACEMENT DATE is blank and EMPLOYED AT ENTRY is Yes and ENTRY HOURS WORKED is < 30.
WTW Cumulative Quarterly Financial Status Report	014	028	Placed in Subsidized Employment	Number of WtW participants who are placed in subsidized jobs for which the wage subsidy is less than 100% of the participant's total income and for which the subsidized job placement is not workfare, i.e. the total amount paid to the individual exceeds the amount of the subsidy.	For Competitive Grants: The sum of 14.a and 14.b. For Formula Grants: The sum of 28.a and 28.b.
WTW Cumulative Quarterly Financial Status Report	014.a	028.a	Greater than or equal to 30 hours per week at placement	Number of participants who entered subsidized employment of 30 or more hours per week at placement.	Count of INDIVIDUAL IDENTIFIERS where INITIAL SUBSIDIZED PLACEMENT DATE is not blank and HOURS WORKED is >= 30.

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	014.b	028.b	Less than 30 hours per week at placement	Number of participants who entered subsidized employment of less than 30 hours per week at placement.	Count of INDIVIDUAL IDENTIFIERS where INITIAL SUBSIDIZED PLACEMENT DATE is not blank and HOURS WORKED is <30.
WTW Cumulative Quarterly Financial Status Report	015	029	Retained 6 Months (2 Quarters) in Unsubsidized Employment	<p>Number of participants who were placed in unsubsidized employment in the base quarter (Item 12/26), plus the number of participants who were employed in unsubsidized employment when first receiving WtW services (Item 13/27), who remained in the workforce for six months after the base quarter, with earnings in both of the two consecutive quarters following the base quarter.</p> <p>NOTE: Retention is defined as when an eligible individual is placed in unsubsidized employment and remains in the workforce for 6 months with earnings in the two consecutive quarters following the base quarter. For those individuals reported in Item 13/27 (employed in unsubsidized employment when entering the WtW program), the base quarter from which retention is measured is the quarter in which WtW services were first provided, and thus the quarter in which an individual was first counted in Item 13/27.</p>	Count of INDIVIDUAL IDENTIFIERS where WAGES BASE QUARTER +1 or OTHER SOURCE BASE QUARTER +1 are >0 and WAGES BASE QUARTER +2 or OTHER SOURCE BASE QUARTER +2 are >0 AND where INITIAL UNSUBSIDIZED PLACEMENT DATE is not blank OR where INITIAL UNSUBSIDIZED PLACEMENT DATE is blank and EMPLOYED AT ENTRY is Yes.
WTW Cumulative Quarterly Financial Status Report	016	030	Earnings Gained in 6 Months (2 Quarters) Following Placement in Unsubsidized Employment		Row Heading

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	016.a	030.a	Sum of Earnings of those retained in 2nd quarter following base quarter	Sum of earnings in the second quarter of those individuals who remained in the workforce in the second quarter following the base quarter (those participants identified in Item 15).	Sum of WAGES BASE QUARTER +2 or OTHER SOURCE BASE QUARTER +2 where WAGES BASE QUARTER +1 or OTHER SOURCE BASE QUARTER +1 are >0 and WAGES BASE QUARTER +2 or OTHER SOURCE BASE QUARTER +2 are >0 for INDIVIDUAL IDENTIFIERS where INITIAL UNSUBSIDIZED PLACEMENT DATE is not blank OR INITIAL UNSUBSIDIZED PLACEMENT DATE is blank and EMPLOYED AT ENTRY is Yes.
WTW Cumulative Quarterly Financial Status Report	016.b	030.b	Sum of earnings of same group in base quarter	Sum of the earnings of those participants identified in Item 15/29 in the base quarter).	Sum of WAGES BASE QUARTER or OTHER SOURCE BASE QUARTER for INDIVIDUAL IDENTIFIERS where WAGES BASE QUARTER +1 or OTHER SOURCE BASE QUARTER +1 are >0 and WAGES BASE QUARTER +2 or OTHER SOURCE BASE QUARTER +2 are >0 AND INITIAL UNSUBSIDIZED PLACEMENT DATE is not blank OR where INITIAL UNSUBSIDIZED PLACEMENT DATE is blank and EMPLOYED AT ENTRY is Yes.
WTW Cumulative Quarterly Financial Status Report	017	031	Gender	Gender of the participant is male or female.	Row Heading
WTW Cumulative Quarterly Financial Status Report	017.a	031.a	Male	Number of male participants.	Count of INDIVIDUAL IDENTIFIERS where GENDER is male. For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99. For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	017.b	031.b	Female	Number of female participants.	Count of INDIVIDUAL IDENTIFIERS where GENDER is female. For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99. For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.
WTW Cumulative Quarterly Financial Status Report	018	032	Age	Total of participants in each age range. Grantees should report participant's age at the time of participant's enrollment in the program.	Row Heading
WTW Cumulative Quarterly Financial Status Report	018.a	032.a	14-17		Count of INDIVIDUAL IDENTIFIERS where DATE OF BIRTH is 14 to 17 years prior to the FIRST SERVICE DATE. For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99. For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.
WTW Cumulative Quarterly Financial Status Report	018.b	032.b	18-35		Count of INDIVIDUAL IDENTIFIERS where DATE OF BIRTH is 18 to 35 years prior to the FIRST SERVICE DATE. For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99. For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	018.c	032.c	36-50		<p>Count of INDIVIDUAL IDENTIFIERS where DATE OF BIRTH is 36 to 50 years prior to the FIRST SERVICE DATE.</p> <p>For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>
WTW Cumulative Quarterly Financial Status Report	018.d	032.d	51-64		<p>Count of INDIVIDUAL IDENTIFIERS where DATE OF BIRTH is 51 to 64 years prior to the FIRST SERVICE DATE.</p> <p>For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>
WTW Cumulative Quarterly Financial Status Report	018.e	032.e	65 and older		<p>Count of INDIVIDUAL IDENTIFIERS where DATE OF BIRTH is 65 years or more prior to the FIRST SERVICE DATE.</p> <p>For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>
WTW Cumulative Quarterly Financial Status Report	019	033	Race and Ethnicity	Number of participants identified in each category. Multi-racial/ethnic participants may select more than one category. For instance, a participant identified as both "Hispanic or Latino" and "White" would be counted in both Items 19.d/33.d and 19.f/33.f.	Row Heading

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	019.a	033.a	American Indian or Alaskan Native	A person having origins in any of the original peoples of North America and South America (including Central America), and who maintains cultural identification through tribal affiliation or community recognition.	Count of INDIVIDUAL IDENTIFIERS where AMERICAN INDIAN OR ALASKAN NATIVE is Yes. For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99. For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.
WTW Cumulative Quarterly Financial Status Report	019.b	033.b	Asian	A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent (e.g., India, Pakistan, Bangladesh, Sri Lanka, Nepal, Sikkim, and Bhutan). This area includes, for example, Cambodia, China, Japan, Korea, Malaysia, the Philippine Islands, Thailand, and Vietnam.	Count of INDIVIDUAL IDENTIFIERS where ASIAN is Yes. For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99. For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.
WTW Cumulative Quarterly Financial Status Report	019.c	033.c	Black or African American	A person having origins in any of the Black racial groups of Africa.	Count of INDIVIDUAL IDENTIFIERS where BLACK OR AFRICAN AMERICAN is Yes. For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99. For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.
WTW Cumulative Quarterly Financial Status Report	019.d	033.d	Hispanic or Latino	A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race.	Count of INDIVIDUAL IDENTIFIERS where HISPANIC OR LATINO is Yes. For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99. For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	019.e	033.e	Native Hawaiian or Other Pacific Islander	A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.	Count of INDIVIDUAL IDENTIFIERS where NATIVE HAWAIIAN OR OTHER PACIFIC ISLANDER is Yes. For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99. For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.
WTW Cumulative Quarterly Financial Status Report	019.f	033.f	White	A person having origins in any of the peoples of Europe, the Middle East, or North Africa.	Count of INDIVIDUAL IDENTIFIERS where WHITE is Yes. For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99. For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.
WTW Cumulative Quarterly Financial Status Report	020	034	Participants with Disabilities	Enter the number of participants who voluntarily self-disclose as having disabilities. Grantees may not ask participants for their disability status, and participants may not be forced to disclose it. NOTE: An individual with a disability is defined as any individual who has a physical (such as motion, vision, or hearing) or mental (such as learning or developmental) impairment which substantially limits one or more of such person's major life activities and who has a record of such an impairment, or is regarded as having such an impairment.	Count of INDIVIDUAL IDENTIFIERS where INDIVIDUAL WITH DISABILITY is Yes. For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99. For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.

SECTION D

REPORT FILE SPECIFICATIONS

The WtW reporting software builds two files from the cumulative participant records for each grantee. The first file, Performance Measures, shows how job seekers get counted in the numerator or denominator of each performance measure based on the operational definition of the measure. The second file, Participant Characteristics, shows how to generate and analyze the participant characteristics reported on the quarterly financial report. Grantees may use the software for reporting or to validate their own reporting software.

1. File 1 – Performance Measures

This file specifies how to report items 12, 13, 15, and 16 on the competitive grantee report and items 26, 27, 29, and 30 on the formula grantee report. WtW participants can be logically grouped into nine separate categories based on their pre- and post-service employment status and their employment retention status. From these groups, the software computes the four performance measures.

Table D.1 shows how the nine groups are selected. For example, it shows specifically which groups are included in the numerator and denominator of each measure and describes the logic of the measures more precisely. There are nine possible measurement outcomes for WtW participants for the combination of (1) Placed in Unsubsidized Employment, (2) Placed in Subsidized Employment, (3) Retention and (4) Earnings Gain measures. These nine mutually exclusive outcomes are based on the possible combinations of five conditions: participant's employment status prior to registration, number of hours worked, and participant wages in the two quarters following the base quarter.

Columns 6 through 9 on Table D.1 show how the count of customers in each group is used to calculate each measure. For example, individuals in group 1 appear in the count of participants placed in unsubsidized placement for greater than 30 hours per week, in the

numerator and denominator of the retention rate, and in the earnings gain/replacement measure. Individuals in group 6 were already employed upon registration, so are not be included in the count of participants placed in unsubsidized employment. They are, however, included in employed at entry, the numerator and denominator of the retention rate and the earnings gain/replacement measure.

A narrative description of each outcome, and examples of the types of data used to determine if there was a new employer after registration, follows.

Table D.1

Reporting File Specifications Performance Measures

Group	1 Unsubsidized or Subsequent Placement	2 Hours Per Week At Placement	3 Employed At Entry	4 Hours Per Week At Entry	5 Retained	Report the following counts:						
						6 Unsubsidized Placement		7 Employed at Entry		8 Retention		9 Earnings
						A GT or = 30	B LT 30	A GT or = 30	B LT 30	A Numerator	B Denominator	
1	Yes	Gt or = 30	NA	NA	Yes	1	NA	NA	NA	1	1	1
2	Yes	Lt 30	NA	NA	Yes	NA	1	NA	NA	1	1	1
3	Yes	Gt or = 30	NA	NA	No	1	NA	NA	NA	NA	1	NA
4	Yes	Lt 30	NA	NA	No	NA	1	NA	NA	NA	1	NA
5	No	NA	No	NA	NA	NA	NA	NA	NA	NA	NA	NA
6	No	NA	Yes	Gt or = 30	Yes	NA	NA	1	NA	1	1	1
7	No	NA	Yes	Lt 30	Yes	NA	NA	NA	1	1	1	1
8	No	NA	Yes	Gt or = 30	No	NA	NA	1	NA	NA	1	NA
9	No	NA	Yes	Lt 30	No	NA	NA	NA	1	NA	1	NA
Total Count												

Note: Columns 3 and 4 are not applicable for participants who have been placed in unsubsidized employment after receiving their first service—even if they were employed at entry—because such participants are not included in the counts for item 13, employed at entry.

Columns 6 ,7, 8 (A & B) and 9 refer to the Competitive Grantee report number. These column numbers are equivalent to report items 12 – 16 on the Formula Grantee report.

Description of Outcomes:

1. After receiving services, the participant was placed and is working over 30 hours per week. The participant may or may not have been employed at entry and was retained. This participant is therefore reported in item 12A (placed 30 or more hours per week), in the numerator and denominator of the retention rate (items 15A and B), and in the earnings change measure (item 16).
2. After receiving services, the participant has been placed and is working less than 30 hours per week. The participant may or may not have been employed at entry and was retained. This participant is therefore reported in item 12B (placed less than 30 hours per week), in the numerator and denominator of the retention rate (items 15A and B), and in the earnings change measure (item 16).
3. After receiving services, the participant was placed and is working 30 hours or more per week. The participant may or may not have been employed at entry and was not retained. This participant is therefore reported in item 12A (placed 30 or more hours per week) and in the denominator of the retention rate (item 15B), but not the numerator since the participant was not retained.
4. After receiving services, the participant was placed and is working less than 30 hours per week. The participant may or may not have been employed at entry and was not retained. This participant is therefore reported in item 12B (placed less than 30 hours per week) and in the denominator of the retention rate (item 15B), but not the numerator since the participant was not retained.
5. The participant was not employed at entry, and after receiving services, the participant has not been placed. This participant is not reported in items 12, 13, 15, or 16. This count is useful to manage the inventory of participants awaiting placement.
6. The participant was employed at entry working 30 hours or more per week. After receiving services, the participant was not subsequently placed in new employment but has been retained in their original employment. This participant is therefore reported in item 13A (employed at entry 30 hours or more per week), in the numerator and denominator of the retention rate (items 15A and B), and in the earnings change measure (item 16).
7. The participant was employed at entry working less than 30 hours per week. After receiving services, the participant was not subsequently placed in new employment but has been retained in their original employment. This participant is therefore reported in item 13B (employed at entry less than 30 hours per week) and in the numerator and denominator of the retention rate (items 15A and B), and in the earnings change measure (item 16).
8. The participant was employed at entry working 30 hours or more per week. After receiving services, the participant was not subsequently placed in new employment

and has not been retained in their original employment. This participant is therefore reported in item 13A (employed at entry 30 or more hours per week) and in the denominator of the retention rate (item 15B), but not the numerator.

9. The participant was employed at entry working less than 30 hours per week. After receiving services, the participant was not subsequently placed in new employment and was not retained in the original employment. This participant is therefore reported in item 13B (employed at entry less than 30 hours per week) and in the denominator of the retention rate (item 15B), but not the numerator.

Table D.2 is a sample file of participants sorted into the first three participant groups represented on Table D.1.

The sample file consists of ten columns of data, as follows. Column headers on the sample file are abbreviated as they appear in the software application

Participant SSN	
Date Placed in Unsubsidized Employment	
First Service Date	
Hours Worked	
Employed at Entry (Yes/No)	
Entry Hours Worked	
Wages Base Quarter +1 (Wage Records)	- Wages from both quarters means retained
Wages Base Quarter +1 (Other Source)	
Wages Base Quarter +2 (Wage Records)	
Wages Base Quarter +2 (Other Source)	

The sample file includes subtotals of the number of participants in each participant group, as well as wage data from UI wage records or another source.

Table D.2
Sample File – Performance Measures

Obs	Group	SSN	Unsub Emp Date	Sub Emp Date	First Service Date	Hours Per Week at Placement	Emp. at Entry	Entry Hours	Wages Base Q+1	Other Base Q+1	Wages Base Q +2	Other Base Q +2	12A	12B	13A	13B	14	15A Num	15B Den	16 Earn
1	1	125-56-5897	02-04-2001	01-15-2001	01-01-2001	35	NO	NA	2000		3000									
2	1	265-89-5941	03-06-2001	02-20-2001	02-10-2001	33	YES	NA		1000		2000								
3	1	658-25-7789	02-14-2001	02-01-2001	01-05-2001	40	NO	NA	5000		3000									
SUBTOTAL									7000	1000	6000	2000	3					3	3	3
4	2	456-789-012	03-08-2001	02-19-2001	01-30-2001	21	YES	NA	100		2000									
5	2	369-85-9971	03-25-2001	03-21-2001	03-15-2001	8	NO	NA		800		3000								
6	2	027-88-2267	02-22-2001	02-18-2001	02-15-2001	10	NO	NA	400		2000									
SUBTOTAL									500	800	4000	3000		3				3	3	3
7	3	325-11-0025	03-04-2001	02-17-2001	01-06-2001	40	NO	NA	200											
8	3	397-56-8125	03-24-2001	03-23-2001	03-22-2001	40	NO	NA			3000									
SUBTOTAL									200		3000		2				2		2	NA
TOTAL									7700	1800	13000	5000	5	3			2	6	8	6

2. File 2 – Participant Characteristics

This file specifies how to report the Participant Characteristics portion of the WtW Competitive and Formula Quarterly Financial Status Reports. Table D.3 specifies a file that grantees can build to reconstruct the participant characteristics. The file will consist of thirteen columns of data:

Participant SSN
Type of Eligibility
Gender (M/F)
Age (5 categories)
Race & Ethnicity (4 categories)

Once this file is built, the grantee can sort the file into seven discrete groups. For an example of how this file will look with participant records for each of the categories, see the Participant Characteristics button in the Analysis section of the reporting software. Click on the “View” button for a particular participant group to view sample records.

Table D.3

**Reporting File Specifications
General Eligibility and Other Eligibles Participant Characteristics**

Participant Group		Gender		Age					Race and Ethnicity						
	SSN	Male	Female	14-17	18-35	36-50	51-64	65 and older	American Indian or Alaska Native	Asian	Black or African American	Hispanic or Latino	Native Hawaiian or Other Pacific Islander	White	Participant with Disabilities
1 TANF Recipients/ TANF Barriers															
2 Foster Care															
3 Below 100% Poverty															
4 Participants Served Prior to 2000 (30%)															
5 Long Term TANF/ TANF Exhaustee															
6 Noncustodial Parents															
7 Participants Served prior to 2000 (70%)															
Total															

SECTION E

USING UI WAGE RECORDS FOR WELFARE-TO-WORK REPORTING

Welfare to Work grantees have the option of using State UI wage records to establish employment and earnings for participants for reporting purposes. There are numerous access, timing and data issues to consider when using wage records. This section describes the wage record collection and matching process and how it applies to WtW.

1. Timing of Wage Record Availability

Grantees may not have complete wage data on participants until two full quarters after the quarter of wage activity. The reasons for this include:

- Wage record submissions to State Employment Security Agencies (SESAs) are due from employers, in general, 30 days after the end of the quarter in which the wages were earned.
- The processing of 90 to 95 percent of wage record data normally takes 60 days beyond the report due date.

Because the WtW reports are cumulative, grantees are encouraged to collect additional wage record data each quarter on participants whose performance has already been reported. As additional wage data become available, cumulative performance will change.

Table E.1 shows the activities that occur in the base quarter and each of the five subsequent quarters (base quarter +1, base quarter +2, base quarter +3, base quarter +4 and base quarter +5). The top row shows the activities of the program and the participant for each quarter; the bottom row shows the corresponding data processing activity that is necessary to capture and report the required information.

Table E.2 shows the quarters for which wage records are required for each base quarter through 2002.

The schedules in Tables E.1 and E.2 indicate that grantees should receive wage record data from States for at least two quarters (the fourth and fifth quarters after the base quarter) to ensure that all necessary wage record data have been captured.

2. Matching Wage Records and Reporting

Grantees must assemble a file on a quarterly basis to send to the State to obtain the wage records. At the end of each quarter, the grantee should create an extract file containing a short record for every participant served with a base quarter three quarters prior (see Tables E.1 and E.2). The file only needs to contain two data elements for each participant:

1. SSN
2. Base Quarter Identifier (for example, 2001-2 indicating April 1-June 30, 2001, the 2nd calendar quarter in 2001)

The grantee should determine the base quarter as follows:

- If the participant was employed at entry, the base quarter is the quarter of the first service date
- If the participant was not employed at entry, the base quarter is the quarter of the initial date placed in unsubsidized employment

Each grantee may have its own preference for additional data to include on this file. A field designating SSN must be included if the grantee is going to include the wage record merge for the participant with other programs.

The State will match the SSN to the wage record file and retrieve the information for the base quarters and the two subsequent quarters.

The State will not be able to perform this match until the beginning of the fourth quarter following the base quarter. This still gives the grantee time to obtain the data from the State and to prepare the report on time, 45 days into the fourth quarter following the base quarter.

TABLE E.1

**TIMING OF PARTICIPANT/PROGRAM ACTIVITIES AND DATA/MATCHING ACTIVITIES FOR ENTERED
EMPLOYMENT, RETENTION, AND EARNINGS GAIN/REPLACEMENT MEASURES**

Quarter	Base Quarter (For example 1/1/2001-3/31/2001)	Base Quarter + 1 (4/1/2001- 6/30/2001)	Base Quarter +2 (7/1/2001- 9/30/2001)	Base Quarter +3 (10/1/2001- 12/31/2001)	Base Quarter +4 (1/1/2002- 3/31/2002)	Base Quarter +5 (4/1/2002- 6/30/2002)
Participant/ Program Activity	<p>When the participant is first served, the grantee determines whether s/he is employed at that point or not.</p> <p>If the participant is employed, the first service date is used to establish the base quarter.</p> <p>If the participant is not employed on the first service date but is placed in unsubsidized employment after the first service date, the date placed in unsubsidized employment establishes the base quarter.</p> <p>Earnings used to measure earnings change</p>	If the participant is employed, the wages are used to determine retention.	If the participant is employed, the wages are used to determine retention and also used to determine earnings gain.	NA	NA	NA
Internal Data Capturing/ Matching Activity	<p>Capture</p> <ol style="list-style-type: none"> 1. First Service Date 2. Employed at Entry (Y/N) 3. Initial Date Placed in Unsubsidized Employment 4. Base Quarter Earnings (if not using wage records) 	NA	NA	Send SSN and base quarter identifier to State to capture earnings for base quarter, base quarter +1, and base quarter + 2 earnings.	Merge wage record data with participant data file and calculate and report Retention and Earnings Change.	Merge wage record data with participant data file <i>again</i> and <i>recalculate</i> and report Retention and Earnings Change.

TABLE E.2

QUARTERS OF WAGES REQUIRED FOR SPECIFIED BASE QUARTERS

Base Quarter	Quarters for Which Earnings are Required														
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
	99-4	2000-1	2000-2	2000-3	2000-4	2001-1	2001-2	2001-3	2001-4	2002-1	2002-2	2002-3	2002-4	2003-1	2003-2
99-4															
2000-1															
2000-2															
2000-3															
2000-4															
2001-1															
2001-2															
2001-3															
2001-4															
2002-1															
2002-2															
2002-3															
2002-4															

- Base Quarter, Base Quarter +1, Base Quarter +2 – Wages Required
 9 Send SSNs to state
 Receive wage data from state, calculate and submit report
 Receive additional wage record data and recalculate and submit report using the new data

Once the correct wage records have been collected and matched to the SSNs, there are still several other steps that must be accomplished before the performance calculations can be done. Presumably these steps will be performed by the State, but the WtW grantee should be aware of them. If the grantee does not provide a “clean” file, the grantee should perform the steps, which include numbers 3 and 4 below.

3. Aggregating Wage Records from Multiple Employers

One characteristic of UI wage data is that multiple UI wage records exist for participants who work for more than one employer during a particular wage quarter. These records will have duplicate SSN's, but the employer code and earnings amounts will vary. Occasionally, the employer code will be unavailable (null). In cases where the employer code is unavailable, it is appropriate to eliminate records where the SSN and wage value *for that particular quarter* are identical. Records with multiple wage values for participants that work for more than one employer during a particular wage quarter must be added together to arrive at total earnings for the participant in that quarter. For example, if participant A earns \$1,000 at job 1 in quarter 3 and \$2,000 at job 2 in quarter 3, the total earnings for participant A in quarter 3 should be \$3,000.

4. Removing Erroneous Data

Data entry errors in the UI wage file must be identified and excluded. This can be done as an exclusion rule or other method. For example, the grantee should exclude all records with earnings greater than \$40,000 in any one quarter.

Exact duplicate wage records should be eliminated. For example, duplicate wage records for the same SSN, the same employer and the same dollar amount should be eliminated. And, as

mentioned in step 3, in cases where the employer code is unavailable, it is appropriate to eliminate records where the SSN and wage value *for that particular quarter* are identical.